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PTO/SB/21 (modified)
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/976,477	
		Filing Date	October 12, 2001	
		First Named Inventor	Jeffrey C. Hawkins	
		Group Art Unit Number	2173	
		Examiner Name	John W. Cabeca	
Total Number of Pages in This Submission		7*	Attorney Docket Number	21495-05941

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Signature:			
Attorney/Reg. No.:	Amir H. Raubvogel, Reg. No. 37,070	Dated:	APR 16/04

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Jeffrey C. Hawkins, Thomas B. Bridgwater, Robert Y. Haitani,
Srikiran Prasad and William B. Rees

APPLICATION NO.: 09/976,477

FILING DATE: October 12, 2001

TITLE: Multi-Context Iterative Directory Filter

EXAMINER: John W. Cabeca

GROUP ART UNIT: 2173

ATTY. DKT. NO.: 21495-05941

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a

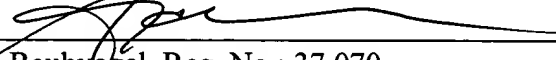
foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

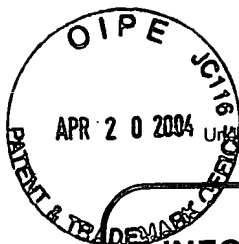
- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. APPLICATION NO., filed on DATE FILED, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
Jeffrey C. Hawkins, Thomas B. Bridgwater, Robert Y.
Haitani, Srikan Prasad, and William B. Rees

Dated: APR 16/04

By: 
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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT****Complete if Known**

Applicant No.	09/976,477
Filing Date	October 12, 2001
First Named Inventor	Jeffrey C. Hawkins
Art Unit	2173
Examiner Name	John W. Cabeca
Attorney Docket Number	21495-05941

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A1	US-6,295,372B1	09-25-2001	Hawkins et al.
	A2	US-6,058,304	05-02-2000	Callaghan et al.
	A3	US-5,465,401	11-07-1995	Thompson
	A4	US-5,392,447	02-21-1995	Schlack et al.
	A5	US-5,379,057	01-03-1995	Clough et al.
	A6	US-5,335,276	08-02-1994	Thompson et al.
	A7	US-5,334,824	08-02-1994	Martinez
	A8	US-5,227,614	07-13-1993	Danielson et al.
	A9	US-5,101,439	03-31-1992	Kiang
	A10	US-5,067,164	11-19-1991	Denker et al.
	A11	US-4,916,441	04-10-1990	Gombrich
	A12	US-4,725,694	02-16-1988	Auer et al.
	A13	US-4,587,630	05-06-1986	Straton et al.
	A14	US-4,415,065	11-15-1983	Sandstedt
	A15	US-4,279,021	07-14-1981	See et al.

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
	B1	EP 0149762 A1	07-31-1986	International Standard Electric Corporation	

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				Applicant's N .	09/976,477
				Filing Date	October 12, 2001
				First Name of Inventor	Jeffrey C. Hawkins
				Art Unit	2173
Examiner Name				John W. Cabeca	
Sheet	2	of	3	Attorney Docket Number	21495-05941

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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C1	<i>American Programmer</i> , N.Y., American Programmer, Inc. (December 1991), pp. 4-33.	
	C2	<i>At Last, Technology Harnesses [sic] One of the Most Powerful [sic] Forces known to Man.</i> , Foster City, GO Corporation, 1991, 14 pages.	
	C3	AT&T New Release, <i>NCR Cuts Price of 3170 Notebook Computer 11 to 19 Percent</i> [online]. (March 8, 1993), Retrieved from the Internet: <URL:http://www.att.com/press/0393/930308.nca.html> 2 pages.	
	C4	Carr, R.M., <i>The Point of the Pen, Byte</i> (February 1991, Reprinted), 10 pages.	
	C5	Cullen, A., <i>Connecting With Your EO Cellular Module</i> , Mountain View, EO, Inc., 1992, 1993, pp. ii-33.	
	C6	Cullen, A., <i>Getting Started With Your EO Personal Communicator</i> , Mountain View, EO, Inc., 1992, 1993, pp. ii-74.	
	C7	Cullen, A., <i>Lookup Guide to the EO Personal Communicator</i> , Mountain View, EO, Inc., 1992, 1993, pp. ii-320.	
	C8	<i>Go Corporation Information Statement</i> , (November 8, 1993), 114 pages.	
	C9	<i>IBM Selects Racotek Data/Voice Communications Services to Interface With Touchmobile Product</i> , PR Newswire (January 25, 1993), 2 pages.	
	C10	<i>IBM TouchMobile Information and Planning Guide, International Business Machines Incorporated</i> (March 1993), 20 pages.	
	C11	<i>IBM TouchMobile Solution for Data Capture and Communication, Keeping Your Business Moving in the 90s, International Business Machines Incorporated</i> (January 1993), 13 pages.	
	C12	<i>IBM'S Touchmobile Helps Field Workers Collect Data at the Touch of a Finger</i> , PR Newswire (January 26, 1993), 2 pages.	
	C13	MacNeill, D., <i>Messaging Card and NewtonMail: We Pick Up and Deliver</i> , On The Go Magazine [online]. (October 13, 1993), Retrieved from the Internet: <URL:http://www.pencomputing.com/Newton/NewtonNotes2.html> 2 pages.	
	C14	MacNeill, D., <i>Wireless Newton Technology Goes to Work, On The Go Magazine</i> [online]. (September 8, 1993), Retrieved from the Internet:	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application No.	09/976,477
				Filing Date	October 12, 2001
				First Name and Inventor	Jeffrey C. Hawkins
				Art Unit	2173
				Examiner Name	John W. Cabeca
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		<URL: http://www.pencomputing.com/Newton/NewtonNotes1.html >2 pages.	
	C15	Maki, K., <i>The AT&T EO Travel Guide</i> , N.Y., John Wiley & Sons, Inc., 1993, pp. iii-555.	
	C16	Schlender, B. R., <i>Hot New PCs That Read Your Writing</i> , <i>Fortune</i> (February 11, 1991, Reprinted), 6 pages.	
	C17	Stock, R., <i>The World of Messaging An Introduction to Personal Communications</i> , Mountain View, EO, Inc., 1992, 1993, pp. ii-69.	

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